



Title:	Consultant Reports Tracking and Retention - Divisional Procedure		
Document #	<i>PW-TOM-P-020-002</i>	Document Level	<i>Level III</i>
Issue #:	<i>02</i>	Issue date	<i>May 2021</i>

1 PURPOSE

The purpose of this procedure is to establish a process for tracking and retaining Consultant Reports. The procedure provides instructions in identifying and documenting general recommendations in addition to those related to imminent risks to human health or safety.

2 SCOPE

Applies to the Transportation Operations & Maintenance (TOM) division of Public Works. Any Consultant Report with recommendations, excluding reports pertaining to standard maintenance activities.

This procedure is to be followed in accordance with the City’s Code of Conduct for Employees (Appendix D), **Level II Sharing of Consultant Reports Procedure**, Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety Procedure (Appendix E) and Records Retention By-Law.

3 DEFINITIONS

Term	Definition
Code of Conduct Policy	<p>Outlines the City of Hamilton’s expectations regarding real and apparent conflicts of interest between an employee’s personal interest and the best interests of the City of Hamilton</p> <p>By signing the Conduct of Conduct for Employees, employees acknowledge and accept responsibility to act and behave in a manner that is consistent with the expectations prescribed in the Policy</p>
Consultant Report	A report written by external professionals hired by the Transportation Operations & Maintenance division containing recommendations for implementation.
Risk to Human	Any hazard, existing or potential, that may reasonably be

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Term	Definition
Health or Safety	expected to have an imminent risk to public health or safety.
Imminent Risk	A circumstance or condition that is certain to happen soon. The likelihood that a circumstance or condition will result in an adverse impact on human health or safety in the community.
Sharing of Consultant Reports with Identified Risks to Human Health or Safety Policy	Provides principles on how imminent risks to human health or safety will be addressed and communicated to Council once identified by the Consultants working with the City. The policy will be included as Schedule G under the existing Code of Conduct Policy

4 RESPONSIBILITY

4.1 Director

- Provide direction to Senior Project Manager/Superintendent and Manager on implementing measures to resolve/mitigate imminent risk to human health or safety.
- Inform General Manager of Public Works of any imminent risk to human health or safety and provide details on recommendations and mitigation plans as available.
- Provide Consultant Report and associated documentation to General Manager or City Manager upon written request from Council.
- Review completed Consultant Report Summary Form (Appendix B) and sign for approval.
- Return signed Consultant Summary Form to Senior Project Manager Continuous Improvement for retention on the network.

4.2 Manager

- Consult with Director on any recommendations related to imminent risk to human health or safety and prepare mitigation plans.
- Provide direction to Senior Project Manger/Superintendent for implementation of recommendations provided in Consultant Report Summary Form (Appendix B), where necessary.
- Review completed Consultant Report Summary Form and sign for approval.

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4.3 Superintendent/Senior Project Manager

- Immediately bring forward to the Manager and Director any imminent risks to human health or safety identified by Consultant.
- Determine feasibility and impact of recommendations provided in Consultant Report Summary Form (Appendix B).
- Consult with Manager to authorize implementation of action items contained in the report, where necessary.
- Review completed Consultant Report Summary Form and send to Manager and Director for approval.
- **Ensure that staff have reviewed and understand the procedure.**

4.4 Project Manager

- Review final Consultant Report.
- If report advises of imminent risk to human health or safety: follow-up with Consultant to understand risk and seek recommendations.
- Immediately bring forward to the Senior Project Manager/Superintendent (cc Senior Project Manager Continuous Improvement) any imminent risks to human health or safety.
- Prepare Consultant Report Summary Form (Appendix B) including all recommendations contained in Consultant Report (for all Consultant Reports, regardless of whether report contains imminent risk to human health or safety or not).
- Inform Senior Project Manager Continuous Improvement of active Consultant Report and expected completion date.
- Review recommendations in Consultant Report Summary Form with Senior Project Manager/Superintendent.
- Track all recommendations implemented in the Consultant Report Summary Form.
- Store completed Consultant Report on the network drive and provide link in the completed Consultant Report Summary Form.
- Provide completed Consultant Report Summary Form to Senior Project Manager/Superintendent for review.

4.5 Senior Project Manager Continuous Improvement

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- Add active Consultant Reports to Consultant Report Tracking Sheet (Appendix C).
- Store signed Consultant Report Summary Form in the Director’s Office folder on the network drive.
- Maintain Consultant Report Tracking Sheet and share most recent version at monthly TOM Management Team meetings.

5 PROCEDURE

5.1 Imminent Risks to Human Health or Safety

- Project Manager to follow-up with Consultant to understand risk and seek recommendations for any imminent risks to human health or safety contained in Consultant Report.
- Project Manager to immediately communicate to Senior Project Manager/Superintendent (cc Senior Project Manger Continuous Improvement) any imminent risks to human health or safety.
- Senior Project Manager/Superintendent to inform Manager and Director of any imminent risks to human health or safety.
- Manager and Director to provide direction on implementing measures to resolve/mitigate imminent risk to human health or safety.
- Director to disclose imminent risks to human health or safety and associated recommendations to General Manager of Public Works.
- Director to provide Consultant Report and associated documentation to General Manager or City Manager upon written request from Council.

5.2 Consultant Report Tracking and Retention

- Project Manager to review final Consultant Report and document all recommendations in Consultant Report Summary Form (Appendix B) (for all Consultant Reports, regardless of whether report contains imminent risk to human health or safety or not).
- Project Manger to notify Senior Project Manager Continuous Improvement of active Consultant Report and expected completion date.
- Senior Project Manager Continuous Improvement to enter Consultant Report information in Consultant Report Tracking Sheet (Appendix C).
- Project Manager and Senior Project Manager/Superintendent (and Manager where necessary) to determine feasibility and impact of implementing recommendations contained in Consultant Report Summary Form.

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- Project Manger to track all recommendations implemented in the Consultant Report Summary Form, including reasons for items recommended but not implemented.
- Project Manager to circulate completed Consultant Report Summary Form to Senior Project Manager/Superintendent.
- Senior Project Manager/Superintendent to review completed Consultant Report Summary Form and circulate to Manager and Director for signature.
- Manager and Director to review and sign completed Consultant Report Summary Form for authorization and send to Senior Project Manager Continuous Improvement for record-keeping.
- Senior Project Manager Continuous Improvement to mark Consultant Report as complete in Consultant Report Tracking Sheet and store completed Consultant Report Summary Form with signatures on the network drive.
- Project Manager to store final Consultant Report and associated documentation to be stored on the network drive.

5.3 Monitoring and Control

Any employee who fails to disclose any imminent risks to human health or safety identified by a Consultant will be in violation of the Code of Conduct Policy.

Failure to comply with this procedure may result in appropriate disciplinary measures up to and including dismissal.

The Internal Auditor will monitor compliance to this procedure during planned audit functions of division responsibilities and business practices.

Consultant Report Tracking Sheet (Appendix C) to be added as standing agenda item at monthly TOM Management Team meetings.

5.4 Control of Documented Information

Public Works documented records will be maintained as per Public Works Document Control PW-P-010-01. This procedure controls the issue, change and approval of documents that are used by Public Works staff. It is used to ensure staff can access both internal and external controlled documents including but not limited to policies, procedures, guidelines, agreements and forms.

5.5 Training

Staff performing work under this procedure must have the appropriate education,

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training and experience. Staff may also receive additional training delivered in person or via recorded video. Training and awareness programmes must ensure that all personnel have knowledge of the procedure and the methods used to achieve them.

6 EXTERNAL REPORTS

6.1 Validating External Reports

Staff that receive a Consultant Report from a group external to the TOM Division (i.e. Engineering Services) where health or safety risks are identified, will review the information to assess the risks, or forward them to the appropriate individuals responsible for the scope of work identified for further assessment.

Once a risk has been confirmed to be valid, the staff member responsible for the scope of work will follow the standard Consultant Report procedure as outlined in Section 5. Upon completion of the required work, a copy of the completed and signed Consultant Report Summary Form shall also be provided to the original external group source.

If the risks brought forward from an external group have been reviewed and deemed to be not applicable, the staff should present and confirm their findings with the next senior level staff members including up to the Manager or Director level.

7 ASSOCIATED DOCUMENTS

- Appendix A - [Consultant Report Process Map](#)
- Appendix B - [Consultant Report Summary Form](#)
- Appendix C - [Consultant Report Tracking Sheet](#)
- Appendix D - [Code of Conduct Policy](#)
- Appendix E - [Sharing of Consultant Reports with Identified Imminent Risks to Human Health or Safety Procedure](#)
- [Level II Sharing of Consultant Reports Procedure](#)
- [Records Retention By-Law](#)

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8 REVISION HISTORY

Rev. No	Rev. Date	Description of change(s)	Process Owner Name & Position	Reviewer(s)
1	March 2021	Initial Release	Stephen Gagne, Senior Project Manager Continuous Improvement	
2	May 2022	Revised to update the training portion and to include a process for external reports (section 6); added reference to Level II Sharing of Consultant Reports SOP; minor wording additions (highlighted in blue); minor administrative revisions to Appendix A and C.	Robert Albertin, Senior Project Manager Continuous Improvement	Stephen Gagne, Greg Witt

9 APPROVAL

Approved By	Date of Approval
Mike Field	May 2022
Peter Sniuolis	April 2022
Kim Wyskiel	April 2022
Peter Locs	April 2022

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